

**PROPERTY & CASUALTY INSURERS
RECIPROCAL EXCHANGES
RISK RETENTION GROUPS
MEDICAL MALPRACTICE COMPANIES**

COMPANY NAME: _____ **NAIC Company Code:** _____

Contact: _____ **Telephone:** _____

REQUIRED FILINGS IN THE STATE OF: _____ **Filings Made During the Year 2003**

(1) Check- list	(2) Line #	(3) REQUIRED FILINGS FOR THE ABOVE STATE	(4) NUMBER OF COPIES*			(5) DUE DATE	(6) FORM SOURCE	(7) APPLICABLE NOTES
			Domestic		Foreign			
			State	NAIC	State			
		I. NAIC FINANCIAL STATEMENTS						
	1	Annual Statement (8 1/2" x 14")	3	1	1	3/1	NAIC	H (a), I, J, K
	1.1	Printed Investment Schedule detail (Pages E01-E-25)	3	1	xxx	3/1	NAIC	
	2	Protected Cell Annual Statement		0	xxx	3/1	NAIC	
	3	Combined Annual Statement (8 1/2" x 14")	xxx	1	xxx	5/1	NAIC	
	4	Quarterly Financial Statement (8 1/2" x 14")	3	1	1	5/15 8/15 11/1	NAIC	H (a), I, J, K
	5.1	State Page – Grand Total Page	3	1	1	3/1	NAIC	K
	5.2	State Page – Missouri Business	3	1	1	3/1	NAIC	K
	5.3	State Page – Business written in each of the other licensed states	1	1	Xxx	3/1	NAIC	
		II. NAIC SUPPLEMENTS						
	10	Accident & Health Policy Experience Exhibit	1	1	1	4/1	NAIC	K
	11	Combined Insurance Expense Exhibit	Xxx	1	xxx	5/1	NAIC	
	12	Credit Insurance Experience Exhibit	1	1	1	4/1	NAIC	
	13	Investment Risk Interrogatories	1	1	1	4/1	NAIC	K
	14	Financial Guaranty Insurance Exhibit	1	1	1	3/1	NAIC	
	15	Insurance Expense Exhibit	1	1	xxx	4/1	NAIC	K
	16.1	Long Term Care Experience Reporting Form – A	1	1	xxx	4/1	NAIC	
	16.2	Long Term Care Experience Reporting Form – B	1	1	xxx	4/1	NAIC	
	16.3	Long Term Care Experience Reporting Form – C	1	1	1	4/1	NAIC	K
	17	Management Discussion & Analysis	3	1	1	4/1	Company	K
	18	Medicare Supplement Insurance Experience Exhibit	1	1	1	3/1	NAIC	
	19	Premiums Attributed to Protected Cells Exhibit	3	1	1	4/1	NAIC	
	20	Risk-Based Capital Report	1	1	N/A	3/1	NAIC	K
	21	Schedule SIS	1	N/A	N/A	3/1	NAIC	
	22	Statement of Actuarial Opinion	3	1	1	3/1	Company	K
	23	Supplement A to Schedule T	1	1	1	3/1 5/15 8/15 11/15	NAIC	
	24	Supplemental Compensation Exhibit	1	N/A	N/A	3/1	NAIC	K
	25	SVO Compliance Certification	3	1	1	3/1 5/15 8/15 11/1	NAIC	K
	26	Trusted Surplus Statement	1	1	xxx	3/1 5/15 8/15 11/1	NAIC	
		III. ELECTRONIC FILING REQUIREMENTS						
	30	Annual Statement Electronic Filing	xxx	1	xxx	3/1	NAIC	
	31	March .PDF Filing	xxx	1	xxx	3/1	NAIC	
	32	Risk-Based Capital Electronic Filing	xxx	1	N/A	3/1	NAIC	

	33	Combined Annual Statement Electronic Filing	xxx	1	xxx	5/1	NAIC	
	34	Combined Annual Statement .PDF Filing	xxx	1	xxx	5/1	NAIC	
	35	Supplemental Electronic Filing	xxx	1	xxx	4/1	NAIC	
	36	Supplemental .PDF Filing	xxx	1	xxx	4/1	NAIC	
	37	Quarterly Electronic Filing	xxx	1	xxx	5/15 8/15 11/1	NAIC	
	38	Quarterly .PDF Filing	xxx	1	xxx	5/15 8/15 11/1	NAIC	
	30	June .PDF Filing	xxx	1	xxx	6/1	NAIC	
		IV. AUDITED FINANCIAL STATEMENTS						
	51	Accountants Letter of Qualifications	3	N/A	1	6/1	Company	K
	52	Audited Financial Statements	3	1	1	6/1	Company	K
	53	Audited Financial Statements Exemption Affidavit	xxx	N/A	N/A		Company	
	54	Independent CPA	xxx	N/A	N/A		Company	
	55	Notification of Adverse Financial Condition	xxx	N/A	N/A		Company	
	56	Report of Significant Deficiencies in Internal Controls	3	N/A	1	6/1	Company	N
	57	Request for Exemption to File	1	N/A	1	5/1	Company	J
	58	Request to File Consolidated Audited Annual Statements	1	N/A	1	5/1	Company	J
		V. STATE REQUIRED FILINGS						
	101	Certificate of Compliance	XXX	XXX	1	3/1	State	H (b)
	102	Certificate of Deposit	XXX	XXX	1	3/1	State	H (b)
	103	Filings Checklist (with Column 1 completed)	XXX	1	XXX		State	
	104	Premium tax	1	XXX	1	3/1	State	K
	105	State Filing Fees	XXX	XXX	XXX		State	
	106	Application for Renewal of C of A	1	XXX	1	3/1	State	K
	107	Updated Biographical Affidavits	1	XXX	XXX	3/1	Company	H (a)
	108	EDP Listing	1	XXX	XXX	3/1	State	K, L, O
	109	Form B & C Holding Company Registration Statement	1	XXX	XXX	4/15	Company	K, P
	110	Form B Inter-Company Agreements Supplement	1	XXX	XXX	4/15	State	K
	111	Basket Clause Statement	1	XXX	XXX	3/1	Company	K
	112	Info regarding Custodians & Brokers/Dealers	1	XXX	XXX	3/1	State	K
	113	Affidavit regarding TPA pursuant RSMo 376.1084	1	XXX	XXX	3/1	State	K

*If XXX appears in this column, this state does not require this filing, if hard copy is filed with the state of domicile and the NAIC and if the data is filed electronically with the NAIC. If N/A appears in this column, the filing is required with the domiciliary state.

**If Form Source is NAIC, the form should be obtained from the appropriate vendor.

		NOTES AND INSTRUCTIONS (A-K APPLY TO ALL FILINGS)	
	A	Required Filings Contact Person:	(a) Angel Toebben (573)526-5001 any question regarding filing (atoebben@sdcnnotes.state.mo.us) (b) Cindy Monroe (573)751-4362 any question regarding filing (c) Elizabeth Tarrants (573)526-4627 any question regarding filing (d) Jane Happy (573)751-1929 questions regarding Premium Tax Form & March 1 quarterly Assessment Form
	B	Mailing Address:	Missouri Department of Insurance (MDI) (a) Room 530, HST Bldg., 301 West High Street, Jefferson City, MO 65101 (b) P.O. Box 690, Jefferson City, MO 65102-0690
	C	Mailing Address for Filing Fees:	Same as above
	D	Mailing Address for Premium Tax Payments:	Department of Revenue P.O. Box 898, Jefferson City, MO 65105
	E	Delivery Instructions:	(a) All filings must be post-marked by the indicated due date. (b) If the due date falls on a weekend or a holiday, the due date may be extended to the next business day.
	F	Late Filings:	Companies will be fined \$100 per day per document for a late filing.
	G	Original Signatures:	Original signatures required on all filings that require signatures.
	H	Signature/Notarization/Certificati on:	(a) Document must be notarized. (b) Documents must be a certified copy.
	I	Amended Filings:	Amended items must be filed within 10 days of their amendment, along with an explanation of the amendments. Amended items have the same filing requirements as the original.
	J	Exceptions from normal filings:	<p>Extensions/Exemptions: Domestic companies are required to request in writing for extensions/exemptions from a filing at least twenty (20) days prior to the due date of such filing.</p> <p>Foreign companies are required to request in writing for extensions/exemptions from a filing at least twenty (20) days prior to the due date, along with a copy of the domestic state's approval, of such filing.</p> <p>The extension/exemption approval letter from MDI, with the respective barcode affixed to it, should be filed on the due date of the filing.</p> <p>Consolidated Audit Reports: Domestic and Foreign companies are required to request in writing for filing consolidated audit reports at least twenty (20) days prior to the due date. Foreign companies are required to attach a copy of the domestic state's approval, of such filing.</p> <p>One copy for each company within the group must be filed.</p>
	K	Bar Codes (State)	For filing documents with the Missouri Department of Insurance, please use barcodes supplied by MDI, as applicable. Documents filed with the NAIC require barcodes per NAIC instructions.

	L	NONE Filings:	If a company has nothing to report on a form, please indicate "NONE" on the form, affix the respective barcode and file on the due date for such form.
	M	Filings new, discontinued or modified materially since last year:	
	N	Report on Internal Controls by CPA	Need to be filed only if deficiencies on internal controls have been noted.
	O	EDP Listing	The statement should list aggregate cost, depreciation and book values for the items listed.
	P	Form B&C	Pursuant to RSMo 382.100 and 20 CSR 200-11.101. Filing Fees - \$50.00 (a) Copies of 10Ks 8Ks and 10Qs should be included for all publicly traded parents of insurers.
	Q	Basket Clause	Pursuant to RSMo 379.080
	R	Stock Ownership Statement	Pursuant to RSMo 376.305.2 and 376.300.2(3)

**General Instructions
For Companies to Use Checklist**

Please Note: This state's instructions for companies to file with the NAIC are included in this Checklist. The NAIC will send mailing labels, and other information, to all companies but will not be sending their own checklist this year.

Electronic filing is intended to include filing via the Internet or filing via diskette with the NAIC. Companies that file with the NAIC via the Internet are not required to submit diskettes to the NAIC.

Column (1) (Checklist)

Companies may use the checklist to submit to a state, if the state requests it. Companies should copy the checklist and place an "x" in this column when mailing information to the state.

Column (2) (Line #)

Line # refers to a standard filing number used for easy reference. This line number may change from year to year.

Column (3) (Required Filings)

Name of item or form to be filed.

The **Annual Statement Electronic Filing** includes the annual statement data and all supplements due March 1, per the *Annual Statement Instructions*. This includes all detail investment schedules and other supplements for which the *Annual Statement Instructions* exempt printed detail.

The **March .PDF Filing** is the .pdf file for annual statement data, detail for investment schedules, Officers and Directors Information and supplements due March 1.

The **Risk-Based Capital Electronic Filing** includes all risk-based capital data.

The **Supplemental Electronic Filing** includes all supplements due April 1, per the *Annual Statement Instructions*.

The **Supplemental .PDF Filing** is the .pdf file for all supplemental schedules and exhibits due April 1.

The **Quarterly Statement Electronic Filing** includes the complete quarterly statement data.

The **Quarterly Statement .PDF Filing** is the .pdf file for quarterly statement data.

The **Combined Annual Statement Electronic Filing** includes the required pages of the combined annual statement and the combined Insurance Expense Exhibit.

The **Combined Annual Statement .PDF Filing** is the .pdf file for the Combined annual statement data and the combined Insurance Expense Exhibit.

The **June .PDF Filing** is the .pdf file for the Audited Financial Statements.

Column (4) (Number of Copies)

Indicates the number of copies that each foreign or domestic company is required to file for each type of form. The Blanks (E) Task Force modified the 1999 *Annual Statement Instructions* to waive paper filings of certain NAIC supplements and certain investment schedule detail, if such investment schedule data is available to the states via the NAIC database. The checklists reflect this action taken by the Blanks (EX4) Task Force. XXX appears in the "Number of Copies" "Foreign" column for the appropriate schedules and exhibits. **Some states have chosen to waive printed quarterly and annual statements from their foreign insurers and to rely upon the NAIC database for these filings. This waiver could include supplemental annual statement filings. The XXX in this column might signify that the state has waived the paper filing of the annual statement and all supplements.**

Column (5) (Due Date)

Indicates the date on which the company must file the form.

Column (6) (Form Source)

This column contains one of three words: "NAIC," "State," or "Company." If this column contains "NAIC," the company must obtain the forms from the appropriate vendor. If this column contains "State," the state will provide the forms with the filing instructions. If this column contains "Company," the company, or its representative (e.g., its CPA firm), is expected to provide the form based upon the appropriate state instructions or the NAIC *Annual Statement Instructions*.

Column (7) (Applicable Notes)

This column contains references to the Notes to the Instructions that apply to each item listed on the checklist. The company should carefully read these notes before submitting a filing.

